



TRANSMITTAL FORM

Application Serial Number 10/660,444
Filing Date September 11, 2003
First Named Inventor Chanduszeko
Group Art Unit 3731
Examiner Name Not yet Assigned
Attorney Docket No. NMT-015
Patent No. Not applicable
Issue Date Not applicable

ENCLOSURES (check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application <input type="checkbox"/> Formal Drawing(s) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) |
| <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____] | <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 |
| <input type="checkbox"/> Petition for Extension of Time | <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application | <input type="checkbox"/> Additional Enclosure(s) (please identify below) |
| <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (B2-B5; C8-C13) | <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> Amendment After Allowance | |
| <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate) | |

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Respectfully submitted,

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PATENT
Attorney Docket No. NMT-015

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Chanduszko *et al.* CONFIRMATION NO.: 4893
SERIAL NO.: 10/660,444 GROUP NO.: 3731
FILING DATE: September 11, 2003 EXAMINER: Not yet assigned
TITLE: SEPTAL PUNCTURE DEVICE

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the foreign patent documents and non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: August 11, 2004
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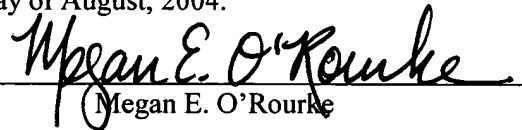
PATENT
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Chanduszko *et al.* CONFIRMATION NO.: 4893
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TITLE: SEPTAL PUNCTURE DEVICE

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 11th day of August, 2004.


Megan E. O'Rourke

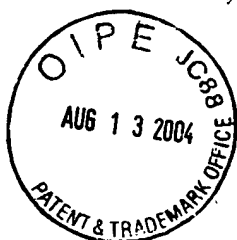
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Commissioner for Patents
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Sir:

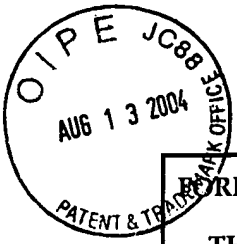
Submitted herewith are:

1. Transmittal Form (1 pg.);
2. Third Supplemental Information Disclosure Statement (2 pgs.);
3. Form PTO-1449 (3 pgs.);
4. Copies of IDS Citations (B2-B5; C8-C13);
5. Return Receipt Postcard.

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| FORM PTO - 1449 THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | | | | ATTORNEY DOCKET NO.: NMT-015 APPLICANT(S): Chanduszko <i>et al.</i> SERIAL NO.: 10/660,444 FILING DATE: September 11, 2003 GROUP: 3731 | | | |
|--|------|--------------------|----------|---|-------|--------------|-------------------------------|
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
| | A84 | 2002/0010481A1 | 1/24/02 | Jayaraman <i>et al.</i> | 606 | 151 | 12/20/00 |
| | A85 | 2002/0169377A1 | 11/4/02 | Khairkahan <i>et al.</i> | 600 | 433 | 3/15/02 |
| | A86 | 3,077,733 | 1/19/63 | Axe <i>et al.</i> | | | |
| | A87 | 4,394,864 | 7/26/83 | Sandhaus | 128 | 843 | 4/15/81 |
| | A88 | 4,515,583 | 5/7/85 | Sorich | 604 | 22 | 10/17/83 |
| | A89 | 4,800,890 | 1/31/89 | Cramer | 600 | 434 | 12/26/85 |
| | A90 | 5,049,153 | 9/17/91 | Nakao <i>et al.</i> | 606 | 151 | 6/26/90 |
| | A91 | 5,171,259 | 12/15/92 | Inoue | 606 | 213 | 10/17/91 |
| | A92 | 5,304,185 | 4/19/94 | Taylor | 606 | 147 | 11/4/92 |
| | A93 | 5,336,252 | 8/8/94 | Cohen | 607 | 119 | 6/22/92 |
| | A94 | 5,486,185 | 1/23/96 | Freitas <i>et al.</i> | 606 | 142 | 6/28/91 |
| | A95 | 5,601,575 | 2/11/97 | Measamer <i>et al.</i> | 606 | 147 | 10/6/94 |
| | A96 | 5,713,908 | 2/3/98 | Jameel <i>et al.</i> | 606 | 148 | 2/24/97 |
| | A97 | 5,827,216 | 10/27/98 | Igo <i>et al.</i> | 604 | 21 | 6/7/95 |
| | A98 | 5,836,311 | 11/17/98 | Borst <i>et al.</i> | 128 | 897 | 9/29/95 |
| | A99 | 5,885,238 | 3/23/99 | Stevens <i>et al.</i> | 604 | 6.14 | 5/30/95 |
| | A100 | 5,927,284 | 7/27/99 | Borst <i>et al.</i> | 128 | 898 | 8/21/97 |
| | A101 | 6,015,378 | 1/18/00 | Borst <i>et al.</i> | 600 | 37 | 10/3/96 |
| | A102 | 6,142,975 | 11/7/00 | Jalisi <i>et al.</i> | 604 | 170 | 12/31/98 |
| | A103 | 6,152,918 | 11/28/00 | Padilla <i>et al.</i> | 606 | 15 | 4/9/98 |
| | A104 | 6,162,202 | 12/19/00 | Sicurelli <i>et al.</i> | 604 | 272 | 10/26/98 |
| | A105 | 6,200,313 | 3/13/01 | Abe <i>et al.</i> | 606 | 34 | 5/1/97 |
| | A106 | 6,254,550 | 7/3/01 | McNamara <i>et al.</i> | 600 | 585 | 8/19/99 |
| EXAMINER | | | | DATE CONSIDERED | | | |



| FORM PTO - 1449 | | | | ATTORNEY DOCKET NO.: NMT-015 | | | |
|--|------|--------------------|----------|--|-------|--------------|-------------------------------|
| THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | | | | APPLICANT(S): Chanduszko <i>et al.</i> | | | |
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| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
| | A107 | 6,302,903 | 10/16/01 | Mulier <i>et al.</i> | 607 | 105 | 7/6/99 |
| | A108 | 6,322,548 | 11/27/01 | Payne, <i>et al.</i> | 604 | 500 | 3/31/98 |
| | A109 | 6,328,688 | 12/11/01 | Borst <i>et al.</i> | 600 | 37 | 1/28/00 |
| | A110 | 6,332,877 | 12/25/01 | Michels | 604 | 263 | 5/12/98 |
| | A111 | 6,334,843 | 1/1/02 | Borst <i>et al.</i> | 600 | 37 | 1/28/00 |
| | A112 | 6,336,898 | 1/8/02 | Borst <i>et al.</i> | 600 | 37 | 1/28/00 |
| | A113 | 6,350,229 | 2/26/02 | Borst <i>et al.</i> | 600 | 37 | 1/28/00 |
| | A114 | 6,364,826 | 4/2/02 | Borst <i>et al.</i> | 600 | 37 | 6/16/99 |
| | A115 | 6,364,876 | 4/2/02 | Erb <i>et al.</i> | 606 | 33 | 9/20/99 |
| | A116 | 6,371,906 B1 | 4/16/02 | Borst <i>et al.</i> | 600 | 37 | 1/28/00 |
| | A117 | 6,371,971 B1 | 4/16/02 | Tsugita <i>et al.</i> | 606 | 200 | 4/28/00 |
| | A118 | 6,375,635 | 4/23/02 | Moutafis <i>et al.</i> | 604 | 43 | 5/18/99 |
| | A119 | 6,394,948 | 5/28/02 | Borst <i>et al.</i> | 600 | 37 | 1/28/00 |
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| | A123 | 6,606,513 | 8/12/03 | Lardo <i>et al.</i> | 600 | 411 | 2/1/01 |
| | A124 | 6,652,486 B2 | 11/25/03 | Bialecki <i>et al.</i> | 604 | 110 | 9/27/01 |
| | A125 | 6,663,592 B2 | 12/16/03 | Rhad <i>et al.</i> | 604 | 110 | 9/6/01 |
| | A126 | 6,692,471 B2 | 2/17/04 | Boudreaux | 604 | 198 | 2/16/01 |
| | A127 | 6,730,062 | 5/4/04 | Hoffman <i>et al.</i> | 604 | 164 | 10/11/01 |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | COUNTRY CODE | CLASS | SUB CLASS | FILING DATE | ABSTRACT ONLY | ENGLISH LANG (Y/N) |
| | B2 | WO 92/06733 | 4/30/92 | PCT | | | 10/15/91 | N | Y |
| | B3 | WO 01/78596 | 10/25/01 | PCT | | | 4/18/00 | N | Y |
| | B4 | 0553259B1 | 8/4/93 | EP | | | 10/15/91 | N | Y |
| | B5 | EP 1046375A1 | 10/25/00 | EP | | | 4/18/00 | N | Y |
| OTHER ART, JOURNAL ARTICLES, ETC. | | | | | | | | | |
| EXAM. INIT. | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | |
| | C8 | International Search Report, International Application No. PCT/US03/28532, mailed on June 8, 2004 | | | | | | | |
| | C9 | Hansen. (June) Metals that Remember, Science 81:44-47. | | | | | | | |
| | C10 | Kotan, C. et al. (2001) Diameter and Pressure of the Water-Jet for Liver Resection, Easter J. Med., 6(2): 43-47 | | | | | | | |
| | C11 | Protsenko et al., (2003) Electrosurgical tissue resection: a numerical and experimental Study, Proceedings of SPIE, Vol. 4954:64-70 | | | | | | | |
| | C12 | Ruiz et al. (2001) The Puncture Technique: A New Method for Transcatheter Closure of Patent Foramen Ovale, Catheterization and Cardiovascular Interventions 53:369-372. | | | | | | | |
| | C13 | Szili-Torok et al. (2001) Transseptal left heart catheterisation guided by intracardiac echocardiography, Heart 86:e11. | | | | | | | |
| EXAMINER | | | | | DATE CONSIDERED | | | | |